

## NURSING RESEARCH GRANTS PROGRAM 2022 GRANT RECIPIENT POLICIES

### I. Award Notification

- A. Grants are awarded and are funded for the grant term specified in the award letter. The grant period of activity will begin upon acceptance of the grant award and will expire based upon the proposed project timeline.
- B. All outstanding documentation and conditions must be received within 60 days of the award notification to maintain eligibility for the award. No funds will be disbursed until all conditions of the grant are fulfilled, including IRB approval and any required membership information.
- C. Awards which fail to satisfy the requirements within the 60-day period will be declared ineligible. Requests for extensions will be considered only under exceptional conditions.
- D. All communications regarding the grant should be directed to the American Nurses Foundation at [NursingResearchGrants@ana.org](mailto:NursingResearchGrants@ana.org).

### II. Grant Recipient Responsibilities

- A. By accepting this award, the grantee agrees to undertake all reasonable efforts to complete the study as submitted and approved, and to take responsibility for fulfilling the terms described within the award letter and this Grant Recipient Policies document.
- B. The sponsoring institution is the location at which the research will be conducted, typically the organization at which the Principal Investigator is employed. For institutions that do not have internal grants management divisions, the institution must identify an appropriate entity (e.g., related healthcare foundation) to receive the funds and monitor their use. The sponsoring institution also agrees to take responsibility for fulfilling the terms described within the award letter and this Grant Recipient Policies document.
- C. When a study involves human subjects, the proposed research must be submitted to an institutional review board (IRB) for approval from a United States university or agency, or country of origin is required and, if applicable, from each site where the study or portions of the study will be conducted. Studies involving animals require similar Institutional Animal Care and Use Committee (IACUC) approval from a United States university or agency, or country of origin. The research must comply with the [NIH Inclusion Policy Involving Human Subjects](#) and with the [NIH Policy and](#)

Guidelines on the Inclusion of Women and Minorities as Subjects in Clinical Research.

- D. Applications pending IRB/IACUC approval are acceptable; however evidence of IRB/IACUC approval must be provided upon acceptance of the grant award. All documents must be in English. Grant funds will not be disbursed until evidence of IRB/IACUC approval, or exemption from review, has been received.
- E. The sponsoring institution is responsible for the actions of its employees and other research collaborators, including third parties, involved in the proposed research.
- F. The sponsoring institution and research study personnel agree not to discriminate on the basis of race, color, religion, creed, age, sex, national origin or ancestry, marital status, sexual orientation, gender identity, genetic information, status as a disabled or Vietnam-era veteran, union affiliation, or status as a qualified individual with a disability.
- G. The sponsoring institution will inquire into and, if necessary, investigate and resolve promptly and fairly all instances of alleged or apparent research misconduct related to this sponsored research in accordance with federal regulations on research misconduct.
- H. The sponsoring institution must report promptly any incident of alleged or apparent research misconduct involving this sponsored research that it judges as warranting investigation and must advise of any decision to initiate an investigation. The sponsoring institution must also provide notice if it intends to close a case at the inquiry or investigation stage based on an admission of responsibility, settlement, or for any other reason.
- I. If a misconduct investigation has been initiated, the sponsoring institution must take any necessary steps, in addition to its normal and ongoing responsibilities under the grant, to protect human subjects, protect the scientific integrity of the project, provide reports, and ensure the proper expenditure of funds and continuation of the project during the investigation, if appropriate.
- J. In addition, American Nurses Foundation may withdraw approval of the principal investigator or other key personnel, disallow costs associated with the invalid or unreliable research, suspend, or terminate, in whole or in part, the grant award.
- K. If, for any reason, the grantee does not complete the project, the principal investigator must provide written notice within 30 days of study termination. Within 60 days of study termination, the grantee is required to complete the final narrative and financial report and return any unused funds as described in section VI.

### **III. Allowable Expenses**

- A. The proposal budget, inclusive of the categories of personnel, supplies, equipment, travel, and other, is the basis for the grant award. Expenses not essential to the

- conduct of the research are excluded.
- B. Prohibited Expenses
    - 1. Ongoing general operating expenses and/or existing deficits;
    - 2. Endowment contributions;
    - 3. Loans;
    - 4. Purchase of personal computers, permanent equipment, facilities, or other capital costs, except as noted below; and
    - 5. Educational assistance such as tuition, textbooks, or dissertation/thesis preparation.
  - C. Funding is generally available for
    - 1. Salary support for Principal and Co-Investigator
    - 2. Salary support for other study personnel (e.g., technical, clerical, and other professional personnel)
    - 3. Consultant fees for study-specific work, not to exceed \$250 per day, plus travel at standard per diem rates.
    - 4. Institutional Review Board fees
    - 5. Consumable supplies and services
    - 6. Patient expenses/reimbursement for participation in the study
    - 7. Requests to purchase specialized equipment with a unit cost of more than \$500 will be considered. Justification for this expense must be documented.
    - 8. Travel to present project findings is permitted up to \$1,500 per co-investigator (no first or business class travel). Travel exceeding this range may be submitted for consideration and prior approval following completion of study to cover additional presentation opportunities that enhance dissemination of results. Travel should not exceed 20% of budget.
    - 9. As defined in our Indirect Costs Policy (see Appendix A), the Foundation will provide indirect cost recovery of up to 12 percent of project costs, exclusive of outsourced services, on all project grants. This is included in the total grant amount, not in addition to it, and must be included as a line item in the proposed budget.
  - D. Supplies and equipment with a unit cost of less than \$500 remain the property of the sponsoring institution at the close of the grant period. Ownership of equipment and software with a unit cost of more than \$500 at the end of the grant period will be assessed on a case-by-case basis.

#### **IV. Grant Funds Administration**

- A. Grants will be awarded to individual projects and the funds will be disbursed directly to the sponsoring institution for administration. Under no circumstances will more

- than the approved proposal budget be awarded.
- B. The grant period of activity will begin upon acceptance of the grant award and will expire based upon the proposed project timeline. Expenses must be incurred within the grant period or a pre-approved no-cost extension. The Foundation will not consider requests or assume responsibility for any costs incurred prior to the award date.
  - C. Upon acceptance of the award and the successful submission of all required documents, the American Nurses Foundation will make a payment to the grant awardee's sponsoring institution as specified in the grant agreement, less 10%. The 10% is withheld until submission of the final narrative and financial reports as described in section VI. The sponsoring institution must send a statement requesting any payment due with the final financial report.
  - D. The distribution and expenditure of funds on the part of the sponsoring institution will be in accordance with standard accounting procedures.
  - E. The budget may include indirect cost rates that do not exceed 12% of the total requested budget, but this must be included as a line item in the proposed budget. See Appendix A for further details on this application.
  - F. Budget changes must be preapproved. A prior written request and justification must be directed to the American Nurses Foundation at [NursingResearchGrants@ana.org](mailto:NursingResearchGrants@ana.org) before any funds can be reallocated.
  - G. Permission may be granted to move funds from one budget category to another if no additional expense to the Foundation is involved. A written request for such change must be made to the Foundation's Nursing Research Grants program, and approval received, before use of those funds in the requested category. Adjustments of line-item expenses to purchase equipment in the latter stages of the grant period will not be permitted.
  - H. The American Nurses Foundation may grant permission to transfer funds to a different sponsoring institution in the event of a change in the investigator's institutional affiliation. A written request should be directed to the Foundation's Nursing Research Grants program.
  - I. Unexpended funds will be returned to the Foundation when the funding period terminates.

## V. Grant Extensions

- A. The grantee may request a no-cost grant extension for no more than twelve (12) months. Only one extension will be granted for any study. The project must be completed, and all other requirements of the grant fulfilled by the end of the extension period.

- B. Any request for a no-cost extension must be made in writing to the Foundation's Nursing Research Grants program.
- C. All extension requests will be responded to in writing with approval and specific dates that constitute the new deadline.

## VI. Final Reports & Fund Disbursement

Final narrative and financial reports are due within 60 days after the end of the grant period.

- A. Principal investigators are responsible for submitting:
  - 1. Executive Summary (approximately 450 words), written in language suitable for a lay person, that answers the questions: *Why is this research important? What did the study reveal? How will the results be implemented, or recommendations for next steps in the work?* This document will not be considered confidential in accordance with section VII.
  - 2. Final narrative report (15-20 pages). This report must include:
    - a) A one-page abstract summarizing the research and results;
    - b) A summary of the study results including statistical analysis, if applicable;
    - c) Preliminary conclusions;
    - d) A summary of all adverse events associated with execution of the study and documentation of IRB review of such adverse events;
    - e) A summary of all protocol modifications and documentation of IRB review and approval of such modifications;
    - f) Lessons learned, including barriers and facilitators;
    - g) Implementation recommendations; and
    - h) Specific plans for presentation and publication of the study findings.
- B. It is the responsibility of the sponsoring institution administering the grant funds to submit a final financial report.
  - 1. The financial report must agree with the original or revised budget submitted by the principal investigator.
  - 2. This report must include a complete and full accounting of the expenditure of grant funds related to the execution of the study.
  - 3. The sponsoring institution must send a statement requesting any outstanding balance due with the financial report.
  - 4. In the event that the principal investigator has not expended the full award, the sponsoring institution must include a check payable to the American Nurses Foundation in the amount of the total unexpended funds.
- C. Upon receipt of the final narrative and financial reports, along with a statement requesting any amount to be settled, the Foundation will release the remaining

balance to the sponsoring institution.

- D. Recipients that fail to meet reporting deadlines may jeopardize their future good standing with the American Nurses Foundation and if no communication is received within 60 days of the expired deadline, their award file may be closed.

## VII. Publications

- A. Publications resulting from the grant must acknowledge the funding and donor organizations from the American Nurses Foundation as described in the award letter.
  - 1. Grant recipients will be known as "scholars" of the funder contributing funds for the grant, when applicable, and all publications and publicity must reflect that title and acknowledge the American Nurses Foundation. e.g., "the CALNOC Scholar of the American Nurses Foundation."
- B. Scholars are expected to comply with specific expectations of their individual funders, as appropriate, such as submitting their findings to their respective funders for publication or presenting their findings at one of the funder's meetings when possible.

The 450-word executive summary submitted by each applicant is not considered confidential after funding is received. The Foundation may share on its website and through various other communication vehicles, and seek publication of, the abstracts and executive summary of any funded proposals.

- C. The principal investigator will provide the Foundation with a reprint of any publication resulting from the research.
- D. The Foundation may wish to publicize portions of any or all reports, documents and materials developed in the course of the research and will do so only with the permission of the principal investigator.

## VIII. Copyright

- A. The copyright in any and all reports, documents, and materials developed in the course of the research ("Materials") shall vest in the respective investigators or sponsoring institutions, who may copyright and publish the Materials, consistent with the sponsoring institution's policies, provided that the following conditions are met:
  - 1. Any Publication contains a notice that the research was supported in whole or in part by a grant from the American Nurses Foundation.
  - 2. The American Nurses Foundation is granted a royalty-free, nonexclusive, irrevocable license to use and/or reproduce the Materials and to translate them, or publish them, either directly or through assignees or sublicenses.

## IX. Patents

- A. In the event that any inventions, ideas, devices, improvements, contrivances, systems, and/or processes (“Inventions”) are made or conceived in the course of the research, the investigator may file patent applications, provided that the following conditions are met:
1. The Inventions are promptly reported to the American Nurses Foundation.
  2. The patent application includes a statement in the first paragraph of the specification that the Invention was made in the course of research supported in whole or in part by a grant from the American Nurses Foundation.
  3. The American Nurses Foundation is granted a royalty-free, nonexclusive, irrevocable license to use the Inventions for purposes of further research, either directly or through assignees or sublicenses, but not for the purposes of commercial development or exploitation.

NOTE: Any issue interpreting this policy will be resolved by the executive director of the American Nurses Foundation in consultation with the chair and co-chair of the nursing research grant review committee.

## APPENDIX A

### INDIRECT COSTS POLICY

The Foundation will provide indirect cost recovery of up to 12 percent of project costs, exclusive of outsourced services, on all project grants. This is included in the total grant amount, not in addition to it. We will reassess this rate periodically.

This indirect cost policy applies only to project grants to nonprofit organizations. Grants not eligible for indirect cost recovery on a percentage basis includes those to individuals and for-profit organizations. We ask that individuals and for-profit applicants to itemize all project expenses.

This policy is effective August 1, 2021.

The American Nurses Foundation adopts this Indirect Cost Policy in recognition that nonprofit organizations have indirect costs that are not directly attributable to projects or activities being funded by Foundation grants but are necessary to support grant-funded projects or activities.

In adopting this policy, the Foundation aims to be explicit, transparent, and equitable across programs and organizations. More learning and iteration will be needed to improve this policy over time, but the goals include:

- Paying the direct costs of grant projects or programs plus a share of associated indirect costs
- Promoting effective and efficient allocation of resources
- Acting with consistency and equity across grantees

### DEFINITIONS

**Direct Project Costs**—Project costs are those costs that are specific to a grant-funded project. *These costs would not be incurred if the project being funded did not exist.*

Examples of project costs include:

- Personnel costs (wages and benefits) of staff working on grant-funded project
- Travel expenses directly related to the grant-funded project
- Supplies and materials used for the grant-funded project
- Meetings and conferences associated with the grant-funded project
- Sub-grants made to other organizations to directly support work on the grant-funded project

**Outsourced Services**—Professional fees for consultants working on the grant-funded project. These are specifically for the project and would not be incurred if the project being funded did not exist. This category should NOT be included when calculating the indirect costs of a project on a percentage basis.

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**Indirect Costs**—Indirect costs are costs for activities or services that support the organization as a whole, rather than any particular program or project, including administrative and fundraising costs. These are not costs associated with the delivery of program services; nonetheless, they are essential costs of maintaining and managing the organization through which program services are delivered. In submitting a project budget, grantees will not be required to itemize these indirect costs.

Examples of indirect costs include:

- Personnel costs (wages and benefits) of administrative and fundraising staff
- Professional fees for consultants working in administrative and fundraising functions
- Rent and occupancy costs for facilities (including office space) occupied by administrative and fundraising functions
- Utilities, telephone and internet costs utilized by administrative and fundraising functions
- Insurance costs, bank fees, credit card fees and interest expenses